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PTO/SB/81 (02-01)

Approved for use through 10/31/2002. OMB 0851-0035

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**POWER OF ATTORNEY OR  
AUTHORIZATION OF AGENT**

Application Number	10/037,146
Filing Date	12/21/2001
First Named Inventor	Painter
Title	RESONANT OPTICAL MODULATORS
Group Art Unit	
Examiner Name	
Attorney Docket Number	CQC13NP

I hereby appoint:

☒ Practitioners at Customer Number

36394 →



OR

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☒ The above-mentioned Customer Number.

OR

☐ Practitioners at Customer NumberPlace Customer  
Number Bar Code  
Label here☐ Firm or  
Individual Name

Address

Address

City

State

Zip

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.☒ Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

**SIGNATURE of Applicant or Assignee of Record**

Name	Jeffrey S. Richter, President and CEO, Xponent Photonics Inc.
Signature	
Date	4-1-2003

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative (s) are required. Submit multiple forms if more than one signature is required, see below.

☒ Total of 1 forms are submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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PTO/SB/96 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Xponent Photonics, Inc.Application No./Patent No.: 10/037,146Filed/Issue Date: 12/21/2001Entitled: RESONANT OPTICAL MODULATORSXponent Photonics, Inc., a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

4-1-2003  
Date

Jeffrey S. Rittichier

Typed or printed name

Signature

President and CEO, Xponent Photonics Inc.

Title

\*COPY\*

<b>ASSIGNMENT OF APPLICATION</b>	Docket Number (Optional) <b>CQC13NP</b>
----------------------------------	--------------------------------------------

Whereas, I/We, Oskar J. Painter of Pasadena, CA, hereafter referred to as applicant, have invented certain new and useful improvements in Resonant optical modulators

☒ for which an application for a United States Patent was filed on 12/21/2001  
Application Number 10 / 037,146

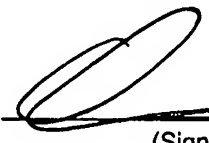
☐ for which an application for a United States Patent was executed on \_\_\_\_\_, and


Whereas, Xponent Photonics Inc of Monrovia, CA herein referred to "assignee" whose mailing address is 425 East Huntington Drive, Monrovia, CA 91016 is desirous of acquiring the entire right, title and interest in the same;

Now, therefore, in consideration of the sum of ten dollars (\$ 10 ), the receipt whereof is acknowledged, and other good and valuable consideration, I/We, the applicant(s), by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I/We hereby authorize and request the Commissioner of Patent and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

Executed this 19<sup>TH</sup> day of MARCH, 2003  
at Monrovia, California

State of CALIFORNIA )  
County of Los Angeles ) SS: \_\_\_\_\_  
Before me personally appeared said OSKAR PAINTER  
and acknowledged the foregoing instrument to be his act and deed on  
day of MARCH, 2003

  
 (Signature)



19<sup>TH</sup>  
Pamela Stock  
 (Notary Public)

Seal

Note: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below\*.

\* ☒ Total of 5 forms are submitted.

This form offers a sample or suggested format for an assignment document. This sample form is not an OMB officially approved form.

\*COPY\*

<b>ASSIGNMENT OF APPLICATION</b>	Docket Number (Optional) <b>CQC13NP</b>
----------------------------------	--------------------------------------------

Whereas, I/We, Kerry J. Vahala of San Gabriel, CA, hereafter referred to as applicant, have invented certain new and useful improvements in Resonant optical modulators

☒ for which an application for a United States Patent was filed on 12/21/2001  
Application Number 10 / 037,146

☐ for which an application for a United States Patent was executed on \_\_\_\_\_, and


Whereas, Xponent Photonics Inc of Monrovia, CA herein referred to "assignee" whose mailing address is 425 East Huntington Drive, Monrovia, CA 91016 is desirous of acquiring the entire right, title and interest in the same;

Now, therefore, in consideration of the sum of ten dollars (\$ 10 ), the receipt whereof is acknowledged, and other good and valuable consideration, I/We, the applicant(s), by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I/We hereby authorize and request the Commissioner of Patent and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

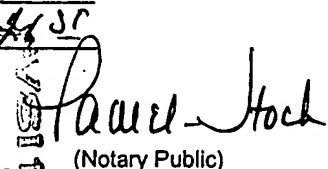
Executed this 21<sup>st</sup> day of MARCH, 2003  
at Monrovia, California

State of CALIFORNIA  
County of Los Angeles SS: \_\_\_\_\_  
Before me personally appeared said KERRY VAHALA  
and acknowledged the foregoing instrument to be his free act and deed this  
day of MARCH, 2003.

Seal



**PAMELA STOCK**  
Comm. # 1216780  
NOTARY PUBLIC - CALIFORNIA  
Los Angeles County  
My Comm. Expires April 23, 2003



(Notary Public)

Note: Signatures of all the inventors or assignees of record of the entire interest in the invention are required. Submit multiple forms if more than one signature is required. See below.

\* ☒ Total of 5 forms are submitted.

\*COPY\*

<b>ASSIGNMENT OF APPLICATION</b>	Docket Number (Optional) <b>CQC13NP</b>
----------------------------------	--------------------------------------------

Whereas, I/We, David W. Vernoooy of Sierra Madre, CA, hereafter referred to as applicant, have invented certain new and useful improvements in Resonant optical modulators

☒ for which an application for a United States Patent was filed on 12/21/2001  
Application Number 10 / 037,146

☐ for which an application for a United States Patent was executed on \_\_\_\_\_, and


Whereas, Xponent Photonics Inc of Monrovia, CA herein referred to "assignee" whose mailing address is 425 East Huntington Drive, Monrovia, CA 91016 is desirous of acquiring the entire right, title and interest in the same;

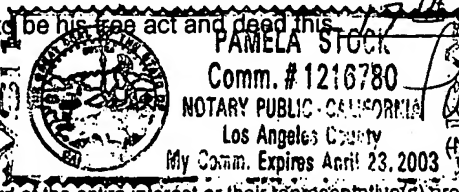
Now, therefore, in consideration of the sum of ten dollars (\$ 10 ), the receipt whereof is acknowledged, and other good and valuable consideration, I/We, the applicant(s), by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I/We hereby authorize and request the Commissioner of Patent and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

Executed this 17<sup>TH</sup> day of MARCH, 2003  
at Monrovia, California

State of California  
County of Los Angeles SS: DAVID VERNOOY

Before me personally appeared said DAVID VERNOOY and acknowledged the foregoing instrument to be his free act and deed this 17<sup>TH</sup> day of MARCH, 2003.

  
 (Signature)

  
 PAMELA STOCK  
 Comm. # 1216780  
 NOTARY PUBLIC - CALIFORNIA  
 Los Angeles County  
 My Comm. Expires April 23, 2003  
 (Notary Public)

Seal

Note: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below\*.

\* ☒ Total of 5 forms are submitted.

<b>ASSIGNMENT OF APPLICATION</b>	Docket Number (Optional) <b>CQC13NP</b>
----------------------------------	--------------------------------------------

Whereas, I/We, Guido Hunziker of Altadena, CA, hereafter referred to as applicant, have invented certain new and useful improvements in Resonant optical modulators

☒ for which an application for a United States Patent was filed on 12/21/2001  
Application Number 10 / 037,146

☐ for which an application for a United States Patent was executed on \_\_\_\_\_, and


Whereas, Xponent Photonics Inc of Monrovia, CA herein referred to "assignee" whose mailing address is 425 East Huntington Drive, Monrovia, CA 91016 is desirous of acquiring the entire right, title and interest in the same;

Now, therefore, in consideration of the sum of ten dollars (\$ 10 ), the receipt whereof is acknowledged, and other good and valuable consideration, I/We, the applicant(s), by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I/We hereby authorize and request the Commissioner of Patent and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

Executed this 17<sup>TH</sup> day of MARCH, 2003  
at Monrovia, California

State of CALIFORNIA      942  
County of LOS ANGELES      SS: Guido Hunziker  
Before me personally appeared said Guido Hunziker  
and acknowledged the foregoing instrument to be his free act and deed this 17<sup>TH</sup>  
day of MARCH, 2003.

Seal



**PAMELA STOCK**  
Comm. # 1216780  
NOTARY PUBLIC - CALIFORNIA  
Los Angeles County  
My Comm. Expires April 23, 2003

Pamela Stock  
(Notary Public)

Note: Signatures of all the inventors or assignees of record or the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below.

\* ☒ Total of 5 forms are submitted.

\*COPY\*

<b>ASSIGNMENT OF APPLICATION</b>	Docket Number (Optional) <b>CQC13NP</b>
----------------------------------	--------------------------------------------

Whereas, I/We, Peter C. Sercel of Pasadena, CA, hereafter referred to as applicant, have invented certain new and useful improvements in Resonant optical modulators


☒ for which an application for a United States Patent was filed on 12/21/2001  
Application Number 10 / 037,146

☐ for which an application for a United States Patent was executed on \_\_\_\_\_, and

Whereas, Xponent Photonics Inc of Monrovia, CA herein referred to "assignee" whose mailing address is 425 East Huntington Drive, Monrovia, CA 91016 is desirous of acquiring the entire right, title and interest in the same;

Now, therefore, in consideration of the sum of ten dollars (\$ 10), the receipt whereof is acknowledged, and other good and valuable consideration, I/We, the applicant(s), by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I/We hereby authorize and request the Commissioner of Patent and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.


Executed this 13<sup>TH</sup> day of MARCH, 2003  
at MONROVIA, CALIFORNIA

  
 \_\_\_\_\_  
 (Signature)

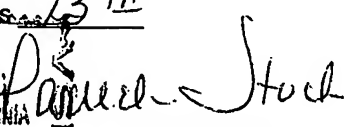
State of CALIFORNIA  
County of LOS ANGELES SS: PETER SERCEL

Before me personally appeared said PETER SERCEL  
and acknowledged the foregoing instrument to be his free act and deed this 13<sup>TH</sup> day of MARCH, 2003

Seal



**PAMELA STOCK**  
Comm. # 121678  
NOTARY PUBLIC - CALIFORNIA  
Los Angeles County  
My Comm. Expires April 23, 2003

  
 \_\_\_\_\_  
 (Notary Public)

Note: Signatures of all the inventors or assignees of the invention are required. Submit multiple forms if more than one signature is required. See below.

\* ☒ Total of 5 forms are submitted.

\*COPY\*